



IRCA

INTERNATIONAL
REGISTER OF
CERTIFICATED
AUDITORS

How to apply for and maintain

Training Organization Approval and Training Course Certification

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1.

Introduction

- 1.1.** We, the International Register of Certificated Auditors (IRCA), have developed this document to help you, the Training Organization, apply for and maintain approval as a Training Organization and to apply for certification of your training course(s). These requirements are designed:
 - 1.1.1.** *To be clear* and *easy to read*.
 - 1.1.2.** *To provide value-for-money* training course certification by only requiring necessary surveillance assessments.
- 1.2.** There are two elements to running IRCA certified training courses:
 - 1.2.1.** *Approval* as an IRCA Training Organization, and
 - 1.2.2.** *Certification* of IRCA training courses.
- 1.3.** We can only approve Training Organizations with certifiable training courses. Application for approval of the Training Organization and course certification may be made simultaneously.
- 1.4. The Course Family Approach.** We understand that there is much commonality between training courses based on the same management system standard and this is reflected in our approach to course fees and to course surveillance.
- 1.5. Communication.** All communications, correspondence, documents and materials submitted in support of both Training Organization approval and training course certification must be in English.
- 1.6.** Most communications will be electronic and you should have access to the Internet, email, MS Word, Adobe Acrobat Reader and MS Excel as a minimum. In the first instance, all correspondence and communications should be addressed to:

The Training Account Management Team
2nd Floor North
Chancery Exchange
10 Furnival Street
London EC4A 1AB
United Kingdom
T: + 44 (0) 20 7245 6833
F: + 44 (0) 20 7245 6755
E: irca@irca.org
W: www.irca.org

2.

Applying

2.1. Applying for Training Organization Approval

2.1.1. **Application Process.** You should expect the process for Training Organization approval to take a minimum of 8 weeks, and we advise you to allow longer. This is a two-stage process:

- a. Stage 1: Document Review
- b. Stage 2: Initial On-site Assessment

2.1.2. **Stage 1: Document Review¹ of your Training Organization Management System.**

a. In order to begin the application process you must submit the following:

- The completed application form (see Appendix A).
- The Training Organization application fee (see IRCA/151, *Fees and Charges*, available on request).
- Your complete documentation, either on paper or electronically, demonstrating how you meet the requirements of IRCA/2000, *Requirements for Training Organization Approval*, including: your organization structure, a current list of subcontractors/branches, a list of approved tutors, and your documented processes for:

- i. Controlling the administration of IRCA certified training courses (document control, subcontractors/branches, advertising, training course facilities).
- ii. Qualifying tutors.
- iii. Assessing student performance and managing examinations.
- iv. Continuously improving your training.

b. When we receive your complete application we will allocate a unique reference number to your Training Organization and a Training Assessor will complete the desktop review of your management systems documentation, against IRCA/2000. We will send you a summary report, including audit findings, within 20 working days of receipt of your application.

c. In the event that your application fails after two complete submissions at the document review (Stage 1), you will be required to make a new application, including the payment of the application fee.

d. After any audit findings have been satisfactorily addressed we will arrange an on-site assessment of your management system. We will try to arrange this at the same time as the initial assessment of your training course to reduce costs.

2.1.3. **Stage 2: Initial Assessment of your Training Organization Management System**

a. This initial assessment of your management system is usually 1 day and you are liable for all the costs incurred, see IRCA/151, including the Training Assessor fees and all travel, accommodation and subsistence costs.

b. In the event that your organization does not conform to the requirements of IRCA/2000 and major changes are required after the initial assessment (stage 2), we may undertake a further full or partial assessment.

c. After any Audit Findings have been satisfactorily closed out and when both your training course and your management system are ready for certification/approval, we will approve your Training Organization to present IRCA certified training courses, and:

- Place both your organization and training course details on the IRCA website.
- Issue to you a certificate of Training Organization approval.
- Send electronic copies of the IRCA Training Course Mark and the IRCA Training Organization Mark.
- Provide you with a copy of IRCA/120 (see 3.1.1).

2.2. Applying for Certification of Training Courses

2.2.1. **Application Process.** You should expect the process for training course certification to take a minimum of 8 weeks, and we advise you to allow longer. This is a two-stage process.

- a. Stage 1: Document Review
- b. Stage 2: Initial On-site Assessment

1. The cost of this review is covered by the Training Organization Application Fee, see IRCA/151.

2.2.2. Stage 1: Document Review² of your Training Course Materials and Documents.

- a. In order to begin the application process you must submit the following:
- The completed application form (see Appendix B).
 - The relevant training course Application fee (see IRCA/151, *Fees and Charges*, available on request).
 - Documents and materials demonstrating how your course meets the requirements of the relevant IRCA training course criteria. You must submit all course materials³, including:
 - i. Course programme.
 - ii. Tutor session plans showing the content of each session together with start and finish times including scheduled breaks.
 - iii. Course notes for students.
 - iv. Course notes for tutors.
 - v. Exercise briefs, for students and tutors.
 - vi. Hand-outs (including model answers for students and tutors).
 - vii. Case study materials.
 - viii. Continuous assessment (tutors model outputs and a marking scheme/guidance and student's continuous assessment record form).
 - ix. Information on Tutor aids (e.g. OHP).
 - x. Any supplementary materials.
 - xi. Proposed Certificates of Successful Completion and Certificates of Attendance.
 - xii. Tutor competence/qualification information.
 - xiii. A document which cross references your course session plans with IRCA learning and enabling objectives.
- b. When we receive your complete application we will allocate a unique reference number to your training course and an IRCA Training Assessor will complete the desktop review of your course materials and documentation, against the relevant IRCA training course criteria. We will send you a summary report, including an Audit Findings form, within 20 working days of receipt of your application.
- c. In the event that your application fails after two complete submissions at the document review (Stage 1), you will be required to make a new application, including the payment of the application fee.
- d. After any audit findings have been satisfactorily addressed we will forward one of the IRCA central examination papers and a copy of the specimen paper (where appropriate). We will also arrange an initial assessment of your training course. We will try to arrange this at the same time as the initial assessment of your management system to reduce costs.

2.2.3. Stage 2: Initial Assessment of a Presentation of Your Training Course.

- a. This is usually an assessment of a complete delivery of the course and you are liable for all the costs incurred, see IRCA/151, including the IRCA Course Assessor fees and all travel, accommodation and subsistence costs. In cases when you have another IRCA certified training course based on the same management system standard, we may reduce the duration of the initial assessment in recognition of the commonality between the courses.
- b. In the event that your training course does not conform to the requirements of the relevant IRCA training course criteria and major changes are required after the initial assessment (Stage 2), we may undertake a further full or partial assessment.
- c. *Retrospective Certification.* On request we will consider retrospective certification for presentations of your course made between successful completion of the document review and certification of the course, but not for presentations made before the successful completion of the document review. Any presentations considered for retrospective certification must have met IRCA requirements.
- d. After any Audit Findings have been satisfactorily closed out and when both your training course and your management system are ready for certification/approval, we will certify your training course, and:
- Place your training course details on the IRCA website.
 - Issue to you a certificate of training course certification.
 - Send you electronic copies of IRCA central examinations (where relevant).
 - Send you an invoice for the training course annual fee (pro-rata).

2. The cost of this review is covered by the application fee, see IRCA/151.

3. All materials must be submitted on paper unless agreed otherwise with IRCA.

3.

Maintaining

3.1. Maintaining Your Training Organization Approval

3.1.1. Training Organization approval is maintained subject to the following:

- a. *Regular Surveillance.* Satisfactory surveillance of your Training Organization’s management of IRCA certified training courses (see Appendix C).
- b. *Presenting IRCA Certified Courses.* You must present, and continue to present, IRCA certified training course(s) directly as well as through sub-contractors or branches.
- c. *Provision of information to IRCA:*
 - A summary of information on all certified courses presented in the six months prior to 30 June and to 31 December every year, must be submitted to us on form IRCA/120, by the following 31 July and 31 January respectively. We will collate this information and send summary statistics to you.
 - A current list of your approved tutors showing their tutor qualification status (i.e. Tutor, Lead Tutor, Tutor in Training etc.) for each certified course.
 - A current list of your subcontractors and branches.

3.2. Maintaining Your Training Course Certification

3.2.1. Maintenance of the certification of each IRCA certified course is subject to the following:

- a. Satisfactory periodic surveillance assessments of your training course(s) (see Appendix C).⁴
- b. Maintenance of your Training Organization approval.

⁴ Note that annual surveillance of courses based on the same management system standard is calculated on the basis of course families (see Appendix C). This reduces the cost of maintaining training course certification by keeping annual surveillance costs down while ensuring that IRCA certified courses continue to achieve the minimum requirements defined in the relevant training course criteria documents.

4.

Annual Surveillance

- 4.1. Surveillance Frequency** We will undertake regular assessments of your Training Organization’s management and control of IRCA certified training, and a sample of your IRCA certified training courses.
- 4.1.1.** The number of IRCA certified course presentations your organization makes and the complexity of your training organization management system determine the frequency of assessments as described in Appendix C.
- 4.1.2.** We reserve the right to increase the frequency of Training Organization and/or training course surveillance, where your Training Organization fails to achieve any of the outcomes defined in IRCA/2000 or the relevant training course criteria, or where we identify a potential risk to the consistent effective delivery of IRCA certified training to acceptable standards.
- 4.1.3.** We may decrease surveillance frequency where your training organization demonstrates that the design and implementation of your training management system consistently meet or even exceed our requirements.
- 4.2. Surveillance Locations.** We reserve the right to undertake surveillance of your management of IRCA certified training and your delivery of IRCA certified training courses wherever these activities take place.
- 4.3. The IRCA Training Assessor.**
- 4.3.1.** Normally, an English-speaking Training Assessor will perform the on-site assessment of your Training Organization and training course(s), in which case you must ensure that translation facilities, if required, are available for the duration of the assessment.
- 4.3.2.** During training course assessments, the tutor should introduce the IRCA Training Assessor to your students and explain why he/she is there. Alternatively, the IRCA Training Assessor will briefly introduce himself or herself if the tutor requests this. During the surveillance the IRCA Training Assessor will not participate or interfere in the course in any way.
- 4.3.3.** Your IRCA Training Assessor will summarize his/her findings verbally to your representative at the end of each surveillance visit.
- 4.4. The Surveillance Report.** We will provide you with a written report, including an Audit Findings Form within 10 working days of the end of the surveillance visit. An invoice relating to the costs of the assessment will be sent to you a short time after the surveillance visit.

5.

Suspension and withdrawal

5.1. Grounds for Suspension/Withdrawal of Training Organization Approval.

- 5.1.1. Training Organization approval may be suspended, withdrawn or cancelled for any of the following:
- Non-payment of fees and charges.
 - Failure to provide us with a list of the courses presented for each six-month period as stated above, by the required date .
 - Sustained or serious breach of IRCA criteria.
 - Failure to implement corrective actions satisfactorily or within an agreed timeframe.
 - Failure to deliver IRCA certified training courses effectively and consistently.
 - Misuse of licences, certificates, logos or marks of conformity.
 - Actions or activities that bring the IRCA schemes into disrepute.
 - At your request.
- 5.1.2. Note that all certificates of successful completion issued during a period of suspension must be cancelled and recalled.

5.2. Grounds for Suspension and Withdrawal of Training Course Certification.

- 5.2.1. We reserve the right to suspend, withdraw or cancel the certification of a training course for any of the following:
- Sustained or serious breach of IRCA criteria.
 - Failure to implement corrective actions satisfactorily or within an agreed timeframe.
 - At your request.

5.3. Appealing against IRCA decisions.

- 5.3.1. We operate a documented appeals procedure. Appeals against our decisions must be made in writing to the Director. The auditor certification schemes, including activities associated with the approval of Training Organizations providing certified auditor training, are governed in accordance with English Law and are subject to the exclusive jurisdiction of the English Courts.

6.

Fees and Charges

- 6.1. Details of fees and charges associated with the approval and operation of your Training Organization can be found in document IRCA/151 (Fees and Charges for Training Organizations and Training Courses) available on request. The fee structure is revised annually.
- 6.2. You must ensure that your IRCA Training Organization or course identification/reference number as shown on the invoice is quoted when sending cheques to the IRCA offices and on any transfer advice sent by your bank to our bank (Lloyds Bank) in London. Also, please inform your IRCA Account Manager when such transfers have been made.
- 6.3. We reserve the right to require payment of assessment fees and expenses in advance of visits.
- 6.4. Details of how to pay may be found in document IRCA/151 (Fees and Charges for Training Organizations and Training Courses).

5. For certification purposes, we reserve the right to refuse to accept any certificates issued to students from course presentations that did not meet our requirements or presentations that are not notified to us.

Appendix A

Application form for Training Organization Approval

Name of Applicant Organization:

Contact Details for Correspondence with IRCA:

Name of nominated contact within the organization:

Position of contact within the organization:

Address:

Post Code:

Telephone:

Fax:

Email:

Contact Details to be Published on the IRCA Register of Approved Training Organizations¹:

Address:

Post Code:

Telephone:

Fax:

Email:

Website:

¹ This will be published on the IRCA website and given to potential students and other members of the public who wish to contact you.

Has your organization had an application rejected or certification refused, withdrawn or suspended by another Training Certification Association? **If yes, please give details.**

Fee enclosed (amount):

Payment method: cheque / bank transfer / credit card

Notes:

Acceptance of the completed application form and fee implies no obligation on the part of IRCA to approve any Training Organization.

IRCA reserves the right to amend the requirements for Training Organization approval as it considers appropriate. It is expected that amendments will be required from time to time, to reflect developments in the certification programmes and in management systems generally.

Authorised Signatory (if different from contact):

Name of applicant's authorised signatory:

Position of authorised signatory within the organization:

Signature of authorised signatory:

Date:

Appendix B

Application form for Training Course Certification

Name of Training Organization:

Training Organization unique IRCA reference number (if known)

(**Not** the course certification reference number)

Course title:

Criteria document number: IRCA/

Has your organization had an application rejected or certification refused, withdrawn or suspended by another Training Certification Association? **If yes, please give details.**

Fee enclosed (amount):

Payment method: cheque / bank transfer / credit card

Notes:

1. Acceptance of the completed application and fee implies no obligation on the part of IRCA to certify any training course.
2. IRCA reserves the right to amend the certification requirements for auditor training courses as it considers appropriate. It is expected that amendments will be required from time to time, to reflect developments in the certification programmes and developments in management systems generally.
3. Please ensure you have submitted the following documents with your application and ticked them off on the list below:
 - Course programme.
 - Tutor session plans showing the content of each session together with start and finish times including scheduled breaks.
 - Course notes for students.
 - Course notes for tutors.
 - Exercise briefs, for students and tutors.
 - Hand-outs (including model answers for students and tutors).
 - Case study materials.
 - Continuous assessment (tutors model outputs and a marking scheme/guidance and student's continuous assessment record form)
 - Information on Tutor aids (e.g. OHP)
 - Any supplementary materials.
 - Proposed Certificates of Successful Completion and Certificates of Attendance.
 - Tutor competence/qualification information.
 - A document which cross references your course session plans with IRCA learning and enabling objectives.

NOTE: The application process will likely be delayed if any of the above is not submitted.

Authorised Signatory:

Name of applicant's authorised signatory:

Position of authorised signatory within the organization:

Signature of authorised signatory:

Date:

Appendix C

Appendix C – Surveillance Frequency

Table 1 – Surveillance Frequency

Total number of course presentations in previous year	Total number of surveillance days per year for your Management System		
	Low Complexity Organizations	Medium Complexity Organizations	High Complexity Organizations
<50	1 day every 2 years	1 day per year	2 days per year
50 – 150	1 day a year	2 days per year	3 days per year
100 – 150	1.5 days a year	2.5 days per year	4 days per year
>150	2+ days per year	3+ days per year	4+ days per year
Total number of presentations of each course family presented in previous year	Total number of surveillance days per year for each Training Course Family		
	Low Complexity Organizations	Medium Complexity Organizations	High Complexity Organizations
<50	1 day every 2 years	1 day per year	2 days per year
50 – 150	1 day a year	2 days per year	3 days per year
100 – 150	1.5 days a year	3 days per year	4 days per year
>150	2+ days per year	4+ days per year	4+ days per year

Notes:

- 1. Low Complexity Organizations.** These are Training Organizations that, typically, are controlled from a single site (i.e. that devolve no responsibility to active subcontractors or branches) and that have a stable group of tutors numbering no more than 14.
- 2. Medium Complexity Organizations.** These are Training Organizations that typically;
 - a. Devolve responsibility to up to 6 active subcontractors or branches, and/or
 - b. Have a high turnover of tutors, and/or
 - c. Have between 15 and 40 tutors.
- 3. High Complexity Organizations.** These are Training Organizations that typically
 - a. Devolve responsibility to more than 6 active subcontractors or branches, and/or
 - b. Have more than 40 tutors.
- 4. Course Families.** We consider courses based on the same management system standard to be the same family. For example, if last year you made 10 IRCA/2001 ISO 9000 Series Foundation course presentations, 20 IRCA/2245 QMS Auditor Lead/Auditor courses presentations and 5 Internal QMS Auditor course presentations, we would consider that to be a total of 35 course presentations in that QMS family. For a Low Complexity Organization that would result in 1 surveillance day every 2 years for this family of courses.

International Register of Certificated Auditors (IRCA)

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